

# ENTROPY OF HOMEOMORPHISMS ON UNIMODAL INVERSE LIMIT SPACES

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**ABSTRACT.** We prove that every self-homeomorphism  $h : K_s \rightarrow K_s$  on the inverse limit space  $K_s$  of the tent map  $T_s$  with slope  $s \in (\sqrt{2}, 2]$  has topological entropy  $h_{top}(h) = |R| \log s$ , where  $R \in \mathbb{Z}$  is such that  $h$  and  $\sigma^R$  are isotopic. Conclusions on the possible values of the entropy of homeomorphisms of the inverse limit space of a (renormalizable) quadratic map are drawn as well.

## 1. INTRODUCTION

Since Williams' work on expanding attractors [18], inverse limit spaces play a key role in constructing and analyzing examples in dynamical systems. For a continuous map  $f : X \rightarrow X$  of a metric space  $X$ , its shift homeomorphism  $\sigma_f : X_f \rightarrow X_f$ , where  $X_f := \varprojlim (X, f)$ , is a homeomorphism of the inverse limit space  $X_f$ , and it is the dynamically minimal extension of  $f$  to a homeomorphism. Although the space  $X_f$  is defined as a subspace of  $X^{\mathbb{N}}$ , Whitney's Embedding Theorem allows one to embed the inverse limit in a manifold  $M$  (of dimension 3 if  $X \subset \mathbb{R}$ ), and  $\sigma_f : X_f \rightarrow X_f$  can be extended to a homeomorphism of  $M$  for which  $X_f$  is a global attractor.

Barge and Martin [5] described a construction to embed the inverse limit of any interval endomorphism as a global attractor of a planar homeomorphism and their construction readily generalizes to graphs other than the interval. Bruin [9] showed that for unimodal maps  $f$ , this planar homeomorphism can be taken Lipschitz continuous. Very recently, Boyland, de Carvalho and Hall have developed a  $C^0$  parametrized version [8] of the Barge-Martin construction. In the same paper, they apply their results to the one of the most studied family of unimodal maps, the tent family  $T_s : [0, 1] \rightarrow [0, 1]$  with slope  $\pm s$ ,  $s \in [1, 2]$ , defined as  $T_s(x) = \min\{sx, s(1-x)\}$ . For this family it has been proven that for  $1 \leq s < t \leq 2$ , the inverse limits  $K_s := \varprojlim ([0, 1], T_s)$  and  $K_t$  are not homeomorphic, see [12, 17, 16, 2]. By Barge and Martin [5], any map of the interval can be extended to the disk, and their construction gives a family of extensions of any unimodal family.

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2000 *Mathematics Subject Classification.* 54H20, 37B45, 37E05.

*Key words and phrases.* entropy, inverse limit space, tent map, logistic map.

HB was supported by EPSRC grant EP/F037112/1. ŠŠ was supported in part by the MZOS Grant 037-0372791-2802 of the Republic of Croatia.

Thus Boyland, de Carvalho, and Hall provide a continuously varying family  $\phi_s : \mathbb{D} \rightarrow \mathbb{D}$  of homeomorphisms of the disk  $\mathbb{D}$ , with  $\phi_s$  having  $K_s$  as a global attracting set. Moreover, by [8], these attractors vary continuously in the Hausdorff topology, although no two are homeomorphic. The families  $\phi_s$  and  $\sigma_s = \phi_s|_{K_s}$  have dynamic complexity which increases monotonically with  $s$ : for example, the number of periodic orbits of each period increases with  $s$ , as does the topological entropy  $h_{\text{top}}(\phi_s) = h_{\text{top}}(\sigma_s) = h_{\text{top}}(T_s) = \log s$ .

The next very interesting natural question is to describe the group of homeomorphisms  $h : K_s \rightarrow K_s$  for arbitrary  $s$ . In [6, 7] and [10] it is proven that for  $s \in (\sqrt{2}, 2]$  and a homeomorphism  $h : K_s \rightarrow K_s$ , there exists  $R \in \mathbb{Z}$  such that  $h$  is isotopic to  $\sigma^R$ . To complete the picture about dynamics of homeomorphisms on  $K_s$ , we study  $h_{\text{top}}(h)$ .

**Theorem 1.1.** If  $s \in (\sqrt{2}, 2]$ ,  $h : K_s \rightarrow K_s$  is a homeomorphism and  $R \in \mathbb{Z}$  is such that  $h$  is isotopic to  $\sigma^R$ , then the topological entropy  $h_{\text{top}}(h) = |R| \log s$ .

Isotopy does in general not preserve topological entropy, as is easy to see in dimension  $\geq 2$ . In dimension one, the situation turns out to be more rigid, and one is inclined to compare it with skew-products where all fiber maps are monotone interval maps. Indeed, the rigidity of isotopy implies that  $h$  can differ from  $\sigma^R$  only at non-folding points, *i.e.*, points where locally the core of  $\varprojlim ([0, 1], T_s)$  is homeomorphic to a Cantor set of arcs [10]. Using Bowen's entropy formula and the notion of sequence entropy, Kolyada, Misiurewicz and Snoha [13, 14] proved that for such skew-products the entropy is the same as the entropy of the base map. In our case, we cannot easily identify the base map, and at best it would be defined on a non-compact union of Cantor sets. Therefore it is unclear if results from the skew-product setting can be applied and a proof must be given. In this paper we give our own proof.

The entropy rigidity result of Theorem 1.1 can be extended to various situations, notably the inverse limit spaces of quadratic maps  $q_a(x) = 1 - ax^2$ . Each  $q_a$ ,  $a \in [0, 2]$ , with positive topological entropy, is semi-conjugate to a tent map  $T_s$  with  $\log s = h_{\text{top}}(q_a)$  [15] and the semi-conjugacy collapses (pre)periodic intervals to points. If  $q_a$  has no non-trivial periodic intervals (*i.e.*,  $q_a$  is not renormalizable), then Theorem 1.1 applies to its inverse limit space. Otherwise, the first return map to such a periodic interval is a new unimodal map, called the *renormalization* of the previous; thus we get a (possibly infinite) sequence of nested cycles of periodic intervals, with periods  $(p_i)_{i \geq 0}$ , where  $p_i$  divides  $p_{i+1}$  and  $p_0 = 1$ . The effect of renormalization on the structure of the inverse limit space is well-understood [3]: it produces proper subcontinua that are  $p_i$ -periodic under the shift homeomorphism

and homeomorphic with the inverse limit space of the renormalized map. This gives the following picture:

**Theorem 1.2.** Assume that  $q_a$  is a quadratic map such that  $\log s_i$  is the entropy of the  $i$ -th renormalization with period  $p_i$ . If  $h$  is a homeomorphism on the inverse limit space of  $q_a$ , then  $h_{top}(h) = 0$ , or there exist  $j, i \in \mathbb{N}_0$ ,  $j \leq i$ , such that

$$(1.1) \quad h_{top}(h) = N \frac{p_j}{p_i} \log s_i$$

for some  $N \in \mathbb{N}$  with  $N \geq \frac{p_i \log s_k}{p_k \log s_i}$  for all  $j \leq k \leq i$ , or (only if  $q_a$  is infinitely renormalizable)

$$h_{top}(h) = \sup_i \left( N_i \frac{p_{j_i}}{p_i} \log s_i \right)$$

for some  $j_i \leq i$  and  $N_i$  satisfying inequality analogous to those of  $N$ .

As unimodal inverse limit spaces mimic to some extent the structure of Hénon attractors, Theorems 1.1 and 1.2 can be seen as a step towards an entropy rigidity result for Hénon attractors. Recall that the Hénon map is  $H_{a,b}(x, y) = (1 + y - ax^2, bx)$ , and for parameters  $a \in (0, 2)$  and small  $b$ , there is a bounded open forward invariant set  $U$  such that  $\cap_{n \geq 0} H^n(U)$  is a continuum, called the *(global) attractor*. Barge and Holte [4] proved that for parameter values  $a$  where  $q_a$  has an attracting periodic orbit, and small values of  $b$ ,  $H_{a,b}$  restricted to the global attractor is topologically conjugate to shift homeomorphisms on inverse limit of an interval with bonding map  $q_a$ . Hence Theorem 1.2 applies in this situation.

Another situation pertains to certain skew-products of tent-maps, see [11]. In this case, the attractor is a projection of the inverse limit space of a tent map, and the entropy rigidity is as described in Theorem 1.1. It would be interesting to see if general Hénon or Lozi attractors exhibit rigidity of entropy, even though they are not homeomorphic to unimodal inverse limit spaces with a single bonding map [1].

## 2. PRELIMINARIES

Let  $\mathbb{N} = \{1, 2, 3, \dots\}$  be the set of natural numbers and  $\mathbb{N}_0 = \mathbb{N} \cup \{0\}$ . We consider the family of tent maps  $T_s : [0, 1] \rightarrow [0, 1]$  with slope  $\pm s$ ,  $s \in [1, 2]$ , defined as  $T_s(x) = \min\{sx, s(1-x)\}$ . The critical or turning point is  $c := 1/2$ . We write  $c_k := T_s^k(c)$ , so in particular  $c_1 = s/2$  and  $c_2 = s(1-s/2)$ . The closed  $T_s$ -invariant interval  $[c_2, c_1] = [s - s^2/2, s/2]$  is called the *core*.

The inverse limit space  $K_s := \varprojlim ([0, 1], T_s)$  is the collection of all backward orbits

$$\{x = (\dots, x_{-2}, x_{-1}, x_0) : T_s(x_{-i-1}) = x_{-i} \in [0, s/2] \text{ for all } i \in \mathbb{N}_0\},$$

equipped with metric  $d(x, y) = \sum_{n \leq 0} 2^n |x_n - y_n|$  and *induced (or shift) homeomorphism*

$$\sigma(\dots, x_{-2}, x_{-1}, x_0) = (\dots, x_{-2}, x_{-1}, x_0, T_s(x_0)).$$

Let  $\pi_k : \varprojlim([0, 1], T_s) \rightarrow [0, c_1]$ ,  $\pi_k(x) = x_{-k}$  be the  $k$ -th projection map. Since  $0 \in [0, c_1]$  is a fixed point of  $T_s$ , the endpoint  $\bar{0} := (\dots, 0, 0, 0)$  is contained in  $\varprojlim([0, 1], T_s)$ . The arc-component of  $K_s$  which contains  $\bar{0}$  will be denoted as  $C$ ; it is a ray converging to, but disjoint from the inverse limit of the core  $\varprojlim([c_2, c_1], T_s)$ . We fix  $s \in (\sqrt{2}, 2]$ ; for these parameters  $T_s$  is not renormalizable and  $\varprojlim([c_2, c_1], T_s)$  is indecomposable.

A point  $x = (\dots, x_{-2}, x_{-1}, x_0) \in K_s$  is called a *p-point* if  $x_{-p-l} = c$  for some  $l \in \mathbb{N}_0$ . The number  $L_p(x) := l$  is called the *p-level* of  $x$ . By convention, the endpoint  $\bar{0}$  of  $C$  is also a *p-point* and  $L_p(\bar{0}) := \infty$ , for every  $p$ . The ordered set of all *p-points* of the arc-component  $C$  is denoted by  $E_p$ , and the ordered set of all *p-points* of the arc-component  $C$  of *p-level*  $l$  by  $E_{p,l}$ . Given an arc  $A \subset K_s$  with successive *p-points*  $x^0, \dots, x^n$ , the sequence of their *p-levels* is denoted as

$$FP_p(A) := L_p(x^0), \dots, L_p(x^n),$$

where *FP* stands for folding pattern. Note that every arc of  $C$  has only finitely many *p-points*, but an arc  $A$  of the core of  $K_s$  can have infinitely many *p-points*. In this case, if  $(u^i)_{i \in \mathcal{I}}$  is the set of *p-points* of  $A$ , then  $FP_p(A) = (L_p(u^i))_{i \in \mathcal{I}}$ , for some countable index set  $\mathcal{I}$  (not necessarily of the same ordinal type as  $\mathbb{N}$  or  $\mathbb{Z}$ ). The *folding pattern of the arc-component*  $C$ , denoted by  $FP(C)$ , is the sequence  $L_p(z^1), L_p(z^2), \dots, L_p(z^n), \dots$ , where  $E_p = \{z^1, z^2, \dots, z^n, \dots\}$  and  $p$  is any nonnegative integer. Let  $q \in \mathbb{N}$ ,  $q > p$ , and  $E_q = \{y^1, y^2, \dots, y^n, \dots\}$ . Since  $\sigma^{q-p}$  is an order-preserving homeomorphism of  $C$ , it is easy to see that  $\sigma^{q-p}(z^i) = y^i$  for every  $i \in \mathbb{N}$ , and  $L_p(z^i) = L_q(y^i)$ . Therefore, the folding pattern of  $C$  does not depend on  $p$ .

**Definition 2.1.** We call a *p-point*  $y \in C$  *salient* if  $0 \leq L_p(x) < L_p(y)$  for every *p-point*  $x \in (\bar{0}, y)$ . Let  $(s_i)_{i \in \mathbb{N}}$  be the sequence of all salient *p-points* of  $C$ , ordered such that  $s_i \in (\bar{0}, s_{i+1})$  for all  $i \geq 1$ .

Since for every slope  $s > 1$  and  $p \in \mathbb{N}_0$ , the folding pattern of  $C$  starts as  $\infty 0 1 0 2 0 1 \dots$ , and since by definition  $L_p(s_i) > 0$ , for all  $i \geq 1$ , we have  $L_p(s_1) = 1$ . Also, since  $s_i = \sigma^{i-1}(s_1)$ , we have  $L_p(s_i) = i$ , for every  $i \in \mathbb{N}$ . Therefore, for every *p-point*  $x$  of  $K_s$  with  $L_p(x) \neq 0$ , there exists a unique salient *p-point*  $s_l$  such that  $L_p(x) = L_p(s_l) = l$ . Also, for every  $l \in \mathbb{N}$ , amongst all *p-points*  $E_{p,l}$  of  $C$  with *p-level*  $l$  there exists precisely one *p-point*  $s_l$  which is salient and has *p-level*  $l$ . Note that the salient *p-points* depend on  $p$ : if  $p \geq q$ , then the salient *p-point*  $s_i$  equals the salient *q-point*  $s_{i+p-q}$ .

A *folding point* is any point  $x$  in the core of  $K_s$  such that no neighborhood of  $x$  in the core of  $K_s$  is homeomorphic to the product of a Cantor set and an arc. In [10] it was shown that  $x \in K_s$  is a folding point if and only if for some  $p \in \mathbb{N}$  there is a sequence of  $p$ -points  $(x^k)_{k \in \mathbb{N}}$  such that  $x^k \rightarrow x$  and  $L_p(x^k) \rightarrow \infty$ .

A continuum is *chainable* if for every  $\varepsilon > 0$ , there is a cover  $\{\ell^1, \dots, \ell^n\}$  of open sets (called *links*) of diameter  $< \varepsilon$  such that  $\ell^i \cap \ell^j \neq \emptyset$  if and only if  $|i - j| \leq 1$ . Such a cover is called a *chain*. Clearly the interval  $[0, s/2]$  is chainable. Throughout, we will use sequence of chains  $\mathcal{C}_p$  of  $\varprojlim([0, 1], T_s)$  satisfying the following properties:

- (1) there is a chain  $\{I_p^1, I_p^2, \dots, I_p^n\}$  of  $[0, s/2]$  such that  $\ell_p^j := \pi_p^{-1}(I_p^j)$  are the links of  $\mathcal{C}_p$ ;
- (2) each point  $x \in \cup_{i=0}^p T_s^{-i}(c)$  is a boundary point of some link  $I_p^j$ ;
- (3) for each  $i$  there is  $j$  such that  $T_s(I_{p+1}^i) \subset I_p^j$ .

If  $\max_j |I_p^j| < \varepsilon s^{-p}/2$  then  $\text{mesh}(\mathcal{C}_p) := \max\{\text{diam}(\ell_p) : \ell_p \in \mathcal{C}_p\} < \varepsilon$ , which shows that  $\varprojlim([0, 1], T_s)$  is indeed chainable. Condition (3) ensures that  $\mathcal{C}_{p+1}$  *refines*  $\mathcal{C}_p$  (written  $\mathcal{C}_{p+1} \preceq \mathcal{C}_p$ ).

Note that all  $p$ -point  $E_{p,l}$  of  $p$ -level  $l$  belong to the same link of  $\mathcal{C}_p$ . (This follows by property (1) of  $\mathcal{C}_p$ , because  $L_p(x) = L_p(y)$  implies  $\pi_p(x) = \pi_p(y)$ .) Therefore, every link of  $\mathcal{C}_p$  which contains a  $p$ -point of  $p$ -level  $l$ , contains also the salient  $p$ -point  $s_l$ .

Let  $h : \varprojlim([0, 1], T_s) \rightarrow \varprojlim([0, 1], T_s)$  be a homeomorphism. Take  $q, p \in \mathbb{N}_0$  such that

$$h(\mathcal{C}_q) \preceq \mathcal{C}_p.$$

Let us denote by  $\ell_p^x$  a link of  $\mathcal{C}_p$  which contains the point  $x$ . From [17] and [2] (for the finite and infinite critical orbit case, respectively) we have the following proposition and corollary.

**Proposition 2.2.** There exists  $M \in \mathbb{Z}$  such that the following holds:

- (i) Let  $l \in \mathbb{N}$  and let  $s'_l$  be a salient  $q$ -point. Then  $u := h(s'_l) \in \ell_p^{s_{l+M}}$  and the arc component  $A_u \subset \ell_p^{s_{l+M}}$  containing  $u$ , also contains the salient  $p$ -point  $s_{l+M}$ .
- (ii) Let  $l \in \mathbb{N}$  and let  $x'$  be a  $q$ -point with  $L_q(x') = l$ . Then  $u := h(x') \in \ell_p^{s_{l+M}}$  and the arc component  $A_u \subset \ell_p^{s_{l+M}}$  containing  $u$ , also contains a  $p$ -point  $x$  such that  $L_p(x) = l + M$ .

**Corollary 2.3.**  $R = M + p - q$  does not depend on  $M, p, q$ .

For this  $R$  it was proven in [6, 7] and [10] that  $h$  and  $\sigma^R$  are isotopic.

Let us write  $x \approx_p y$  if  $x$  and  $y$  belong to the same arc component of the same link of the chain  $\mathcal{C}_p$ . Using this notation we can write Proposition 2.2 in the following way:  $h(x) \approx_p \sigma^R(x)$  for every  $x \in E_q$ .

### 3. CONSTRUCTION OF CHAIN $\tilde{\mathcal{C}}_{p+M}$

Let  $m \in \mathbb{N}$  be arbitrary. Take  $p < q \in \mathbb{N}_0$  such that  $h^m(\mathcal{C}_q) \prec \mathcal{C}_p$  and  $\sigma^{Rm}(\mathcal{C}_q) \prec \mathcal{C}_p$ , and let  $M = Rm + q - p$ . For each  $j \geq 1$ ,  $E_{q,j}$  is contained in a single link  $\ell_q \in \mathcal{C}_q$  and by Proposition 2.2, for  $\ell_p \supseteq h^m(\ell_q)$ , every point of  $h^m(E_{q,j})$  is contained in an arc component of  $\ell_p$  which contains a  $p$ -point of  $E_{p,M+j} = E_{p+M,j}$ .

By using  $h^{-1}$  instead of  $h$  if necessary, we can assume that  $R \geq 0$ . Then  $M > 0$  and  $\mathcal{C}_{p+M} \prec \mathcal{C}_p$ . Let  $\tilde{\mathcal{C}}_{p+M}$  be a chain with  $\mathcal{C}_{p+M} \preceq \tilde{\mathcal{C}}_{p+M} \preceq \mathcal{C}_p$  satisfying the following property: Each link  $\tilde{\ell}_{p+M} \in \tilde{\mathcal{C}}_{p+M}$  is much wider in the ‘tangential’ direction than in the ‘transversal’ direction; in fact, the ‘tangential’ length of  $\tilde{\ell}_{p+M}$  is the same as the ‘tangential’ length of  $\ell_p \in \mathcal{C}_p$ , and the ‘transversal’ length of  $\tilde{\ell}_{p+M} = \tilde{\ell}_{q+Rm}$  (recall that  $p + M = q + Rm$ ) is the same as the ‘transversal’ length of  $\ell_{q+Rm} \in \mathcal{C}_{q+Rm}$ , see Figure 1.

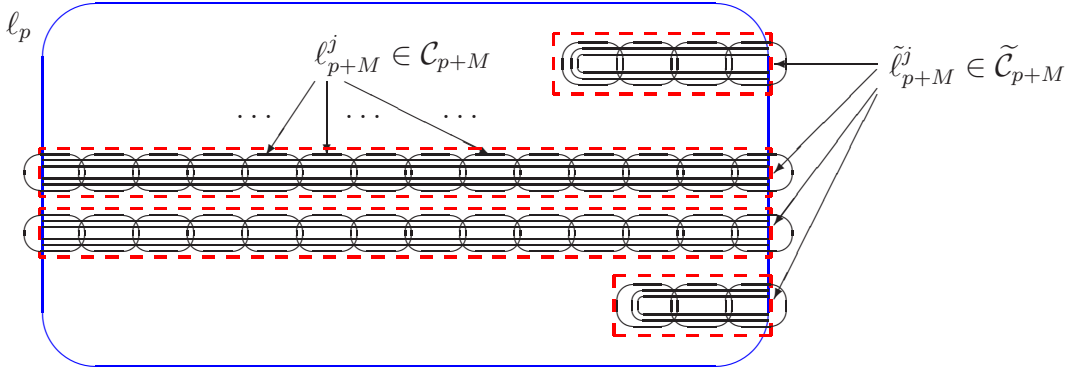


FIGURE 1. Impression of the links  $\ell_p$  (blue),  $\tilde{\ell}_{p+M}^j \in \tilde{\mathcal{C}}_{p+M}$  (red dashed lines) and  $\ell_{p+M}^j \in \mathcal{C}_{p+M}$  (black).

To further understand the chains  $\mathcal{C}_q$ ,  $\mathcal{C}_{q+Rm}$ ,  $\tilde{\mathcal{C}}_{q+Rm}$  and  $\mathcal{C}_p$ , note that for every link  $\tilde{\ell}_{q+Rm} \in \tilde{\mathcal{C}}_{q+Rm}$ , there is a link  $\ell_p \in \mathcal{C}_p$  such that every arc component  $G \in \tilde{\mathcal{C}}_{q+Rm}$  is an arc component of  $\ell_p$  as well. In other words, if  $G_a$  and  $G_b$  are two arc components of  $\ell_p$ , then they can belong to different links of  $\tilde{\mathcal{C}}_{q+Rm}$ , say  $G_a \subset \tilde{\ell}_{q+Rm}^a$  and  $G_b \subset \tilde{\ell}_{q+Rm}^b$ , but if arc components  $G_a \subset \ell_p$  and  $\tilde{G}_a \subset \tilde{\ell}_{q+Rm}^a$  are such that  $G_a \cap \tilde{G}_a \neq \emptyset$ , then  $G_a = \tilde{G}_a$ . Therefore, all points of  $h^m(E_{q,j})$  are contained in the link  $\tilde{\ell}_{q+Rm} \in \tilde{\mathcal{C}}_{q+Rm}$  which contains  $E_{p+M,j} = E_{q+Rm,j}$ . Moreover, by construction of  $\tilde{\mathcal{C}}_{q+Rm}$ , we have that  $h^m(\mathcal{C}_q) \prec \tilde{\mathcal{C}}_{p+M} = \tilde{\mathcal{C}}_{q+Rm}$ .

Let  $\mathcal{C}_q = (\ell_q^i)_{i=1}^{n_q}$  and  $\tilde{\mathcal{C}}_{q+Rm} = (\tilde{\ell}_{q+Rm}^i)_{i=1}^{n_{q+Rm}}$ . Let  $A_q = [\bar{0}, s_1]$  and  $A_{q+mR} = [\bar{0}, \tilde{s}_1]$ , where  $s_1$  and  $\tilde{s}_1$  are the first salient  $q$ -point and salient  $(q+mR)$ -point respectively. Then  $\pi_q(A_q) = [0, c_1] = \pi_{q+mR}(A_{q+mR})$ . Also  $\bar{0} \in \ell_q^1$ ,  $\bar{0} \in \tilde{\ell}_{q+Rm}^1$ ,  $s_1 \in \ell_q^{n_q}$  and  $\tilde{s}_1 \in \tilde{\ell}_{q+Rm}^{n_{q+Rm}}$ . Therefore,  $\mathcal{C}_{q+Rm}$  and  $\tilde{\mathcal{C}}_{q+Rm}$  coil through  $\mathcal{C}_q$  in the same way with the same number of laps as  $T_s^{Rm}$  maps  $[0, c_1]$  to itself. Also,  $\sigma^{Rm}(\mathcal{C}_q)$  is *collinear* with  $\tilde{\mathcal{C}}_{q+Rm}$ , *i.e.*,  $\sigma^{Rm}(\mathcal{C}_q)$  goes straight through  $\tilde{\mathcal{C}}_{q+Rm}$ . More precisely, for every  $t \in [c_2, c_1]$  there exists a unique  $j$  such that either  $\pi_{q+Rm}^{-1}(t) \subset \sigma^{Rm}(\ell_q^j)$ , or  $\pi_{q+Rm}^{-1}(t) \subset \sigma^{Rm}(\ell_q^j) \cap \sigma^{Rm}(\ell_q^{j+1})$ .

**Remark 3.1.** Note that if  $a, b \in \mathbb{N}$  are such that all of  $h^m(\ell_q^i)$ ,  $a \leq i \leq b$ , are mapped into the same link of  $\tilde{\mathcal{C}}_{q+Rm}$ , *i.e.*, if  $\cup_{i=a}^b h^m(\ell_q^i) \subseteq \tilde{\ell}_{q+Rm}^j$  for some  $j$ , it is possible that there exists  $t \in [c_2, c_1]$  such that  $\pi_{q+Rm}^{-1}(t) \cap h^m(\ell_q^i) \neq \emptyset$  for all  $a \leq i \leq b$  even if  $b - a \geq 2$ . To avoid this, let us consider the chain  $V = (v^j)_{j=1}^N$  such that

- $v^j = \cup_{k=a_j}^{a_{j+1}-1} \ell_q^k$  for an increasing sequence  $(a_j)_{j=1}^{N+1}$ ;
- $a_1 = 1$ ,  $a_{N+1} = n_q + 1$  with  $\ell_q^{a_{N+1}} = \emptyset$  by convention;
- for every  $j \in \{1, \dots, N\}$  we have  $\cup_{k=a_j}^{a_{j+1}-1} h^m(\ell_q^k) \subseteq \tilde{\ell}_{q+Rm}^i$ , for some  $i \in \{1, \dots, n_{q+Rm}\}$ ;
- $h^m(\ell_q^{a_{j+1}}) \not\subseteq \tilde{\ell}_{q+Rm}^i$  except for  $a_{N+1}$  (since  $\emptyset = h^m(\ell_q^{a_{N+1}}) \subset \tilde{\ell}_{q+Rm}^i$ ).

Such a chain exists since  $h^m(\mathcal{C}_q) \prec \tilde{\mathcal{C}}_{q+Rm}$ , and in fact, by construction we have  $h^m(V) \prec \tilde{\mathcal{C}}_{q+Rm}$ .

The following lemma is needed for the proof of the main theorem. In that proof we need the property that  $h^m(\mathcal{C}_q)$  coils through  $\mathcal{C}_q$  in roughly the same way with the same number of laps as  $T_s^{mR}$  maps  $[0, c_1]$  into itself.

**Lemma 3.2.** The image chain  $h^m(\mathcal{C}_q)$  is basically collinear with  $\tilde{\mathcal{C}}_{q+Rm}$ , *i.e.*,  $h^m(\mathcal{C}_q)$  goes straight through  $\tilde{\mathcal{C}}_{q+Rm}$ .

**Remark 3.3.** In the above lemma “basically collinear” means exactly that there exists a chain  $V = (v^j)_{j=1}^N$  as in Remark 3.1 for which every link  $v^j$  is a union of consecutive links of  $\mathcal{C}_q$ , such that for every  $t \in [c_2, c_1]$ , there exists a unique  $j$  with either  $\pi_{q+Rm}^{-1}(t) \subset h^m(v^j)$ , or  $\pi_{q+Rm}^{-1}(t) \subset h^m(v^j) \cap h^m(v^{j+1})$ .

*Proof of Lemma 3.2.* Let  $V$  be as in Remark 3.1. By Remarks 3.1 and 3.3 we only need to prove that the number of links in  $V$  is the same as the number of links in  $\tilde{\mathcal{C}}_{q+Rm}$ , *i.e.*,  $N = n_{q+Rm}$ . In this case, for every link  $v^j \in V$  there exist a unique link  $\tilde{\ell}_{q+Rm}^j \in \tilde{\mathcal{C}}_{q+Rm}$  such that  $h^m(v^j) \subseteq \tilde{\ell}_{q+Rm}^j$ , implying that  $h^m(V)$  is collinear with  $\tilde{\mathcal{C}}_{q+Rm}$ .

Note firstly that by Theorem 1.1 of [10], we have  $h(x) = \sigma^R(x)$  for every folding point  $x$  in  $K_s$ . Therefore, if the critical point  $c$  is dense in the core  $[c_2, c_1]$ , then  $h \equiv \sigma^R$  on the



inverse limit of the core  $\varprojlim([c_2, c_1], T_s)$ . Since  $\sigma^{Rm}(\mathcal{C}_q)$  is collinear with  $\tilde{\mathcal{C}}_{q+Rm}$ , also  $h^m(\mathcal{C}_q)$  is collinear with  $\tilde{\mathcal{C}}_{q+Rm}$ .

(1) Let us assume that the critical point  $c$  is not dense in the core  $[c_2, c_1]$ . The construction of  $\tilde{\mathcal{C}}_{p+M}$  and Proposition 2.2 imply that  $h^m(x) \approx_{q+Rm} \sigma^{Rm}(x)$  for every  $x \in E_q$ , meaning that  $h^m(\mathcal{C}_q)|_C$  is basically collinear with  $\tilde{\mathcal{C}}_{q+Rm}|_C$ , *i.e.*, that  $h^m(\mathcal{C}_q)|_C$  goes straight through  $\tilde{\mathcal{C}}_{q+Rm}|_C$ .

(2) Let  $v^j$  be any link of  $V$ , and let  $A_j$  be an arc-component of  $v^j$  which is contained in the core of  $K_s$ , and does not contain any folding point. Since we want to prove that  $N = n_{q+Rm}$ , we need not consider those arcs  $B$  such that  $h^m(B)$  is contained in only one link of  $\tilde{\mathcal{C}}_{q+Rm}$ . Hence, by extending the arc  $A_j$  to  $A = [x, y] \supset A_j$  if necessary, we can assume without loss of generality that  $x$  and  $y$  are  $q$ -points (and/or folding point), but  $A$  contains no folding point in its interior. Since  $C$  is dense in the core, for every  $\delta > 0$ , there exists an arc  $D_\delta \subset C$  such that  $A$  and  $D_\delta$  are  $\delta$ -close in the Hausdorff metric, and that  $FR_q(A) = FP_q(D_\delta)$ . (In the case that one of the boundary points is a folding point  $FR_q(\text{Int } A) = FP_q(\text{Int } D_\delta)$ .) By continuity of  $h$ , this implies that there exists an arc  $D \subset C$  such that  $h^m(A)$  and  $h^m(D)$  go through  $\tilde{\mathcal{C}}_{q+Rm}$  in the same way. Therefore, in this case it suffices to consider only arcs contained in  $C$ .

(3) Let us suppose that the arc-component  $A_j$  of  $v^j$  contains a folding point  $z$  (if  $A_j$  contains more than one folding point, let  $z$  and  $z'$  be such that the arc  $[z, z'] \subset A_j$  contains all folding points of  $A_j$ ). Let  $A_{j-1} \subset v_{j-1}$  and  $A_{j+1} \subset v_{j+1}$  be those arc-components for which  $A_j \cap A_{j-1} \neq \emptyset$  and  $A_j \cap A_{j+1} \neq \emptyset$  (in the case that  $A_j$  contains also a  $q$ -point, we have either  $A_{j-1}, A_{j+1} \subset v_{j-1}$ , or  $A_{j-1}, A_{j+1} \subset v_{j+1}$ ). Let us assume that  $A_{j-1}$  and  $A_{j+1}$  do not contain any folding point. Since  $h(u) = \sigma^R(u)$  for every folding point  $u$  in  $K_s$ , it suffices to consider arcs  $A = [x, z] \supset A_{j-1}$  and  $A' = [z', y] \supset A_{j+1}$  such that  $A$  and  $A'$  do not contain any folding point in its interiors (if  $A_j$  contains only one folding point, then  $z = z'$ ). Now, as in (2), we can find arcs  $D, D' \subset C$  such that  $h^m(A)$  and  $h^m(D)$ , as well as  $h^m(A')$  and  $h^m(D')$ , go through  $\tilde{\mathcal{C}}_{q+Rm}$  in the same way.

(4) If  $A_{j-1}$ , or  $A_{j+1}$ , contains folding points, then either at least one of  $A_{j-1} \setminus A_j$ ,  $A_{j+1} \setminus A_j$  is contained in the single link of  $V$ , or we can find  $j_1 \leq j-1$  (and/or  $j_2 \geq j+1$ ) such that  $A_{j_1}$  (and/or  $A_{j_2}$ ) does not contain any folding point. In the first case, let us suppose that  $A_{j-1} \setminus A_j$  is contained in a single link of  $V$ . Then  $h^m(A_{j-1} \setminus A_j)$  is contained in the single link of  $\tilde{\mathcal{C}}_{q+Rm}$ , implying that we need not consider this arc (to prove that  $N = n_{q+Rm}$ , it suffices to consider those arcs  $B$  such that  $h^m(B)$  goes through several link of  $\tilde{\mathcal{C}}_{q+Rm}$ ). The same conclusion follows if  $A_{j+1} \setminus A_j$  is contained in a single link of  $V$ . In the second case we can proceed as in (3).



From the above steps we conclude that it is sufficient to consider only arcs contained in  $C$ . Since by (1),  $h^m(\mathcal{C}_q)|_C$  is basically collinear with  $\tilde{\mathcal{C}}_{q+Rm}|_C$ , this implies that  $N = n_{q+Rm}$ . This completes the proof.  $\square$

#### 4. PROOFS OF THEOREMS 1.1 AND 1.2

We will use Bowen's definition of  $(n, \varepsilon)$ -separated sets to compute topological entropy of  $h$ . For interval maps  $T_s$ , the entropy is also the exponential growth-rate of the lap-number of  $T^n$ , *i.e.*,  $h_{\text{top}}(T_s) = \lim_{n \rightarrow \infty} \frac{1}{n} \log \mathfrak{l}(T_s^n)$ , where

$$\mathfrak{l}(T_s^n) := \#\{\text{maximal intervals on which } T_s^n \text{ is monotone}\}.$$

*Proof of Theorem 1.1.* Fix homeomorphism  $h$  and let  $R$  be such that  $h$  and  $\sigma^R$  are isotopic. By using  $h^{-1}$  instead of  $h$  if necessary, and noting that  $h_{\text{top}}(h) = h_{\text{top}}(h^{-1})$ , we can assume that  $R \geq 0$ .

We start with the upper bound. Take  $\eta > 0$  arbitrary, and find  $m \in \mathbb{N}$  such that the lap-number  $\mathfrak{l}(T_s^{Rm}) \leq s^{m(R+\eta)}$  and also  $(\log 2)/m < \eta$ .

Fix  $\varepsilon > 0$  and let  $p \in \mathbb{N}$  be such that  $\text{mesh}(\mathcal{C}_p) < \varepsilon/2$ . Find  $\varepsilon_0, \varepsilon_1 > 0$  such that  $\varepsilon_1 < \varepsilon_0/200 < \varepsilon_0 < \text{mesh}(\mathcal{C}_p)$ . Take  $q \in \mathbb{N}$  such that  $\text{mesh}(\mathcal{C}_q) < \varepsilon_1$ ,  $h^m(\mathcal{C}_q) \prec \mathcal{C}_p$  and  $\sigma^{Rm}(\mathcal{C}_q) \prec \mathcal{C}_p$ .

Let  $G = (g^j)_{j=1}^{N'}$  be a 'chain' composed of 'half-open links'  $g^j = (\cup_{k=a_j}^{a_{j+1}} \ell_q^k) \setminus \ell_q^{a_{j+1}}$  for an increasing sequence  $(a_j)_{j=1}^{N'}$  such that the following two conditions hold:

- (a)  $a_1 = 1$ ,  $a_{N'+1} = n_q + 1$  and  $\ell_q^{a_{N'+1}} = \emptyset$  by convention,
- (b)  $\cup_{k=a_j}^{a_{j+1}-1} \ell_q^k \subseteq \ell_q^j$ , for every  $j \in \{1, \dots, N'\}$ .

Note that the sequence  $(a_j)_{j=1}^{N'}$  is chosen so that

$$\varepsilon_0 < \text{diam}(g^j) < \varepsilon/2.$$

Since  $\text{diam}(\ell_q^k) < \varepsilon_1$  there must be at least  $\varepsilon_0/\varepsilon_1 \geq 200$  links  $\ell_q^k$  inside each  $g^j$ , and  $g^j$  is much wider in the 'tangential' direction than in the 'transversal' direction. Although  $G$  is not a chain since  $g^i \cap g^j = \emptyset$  for every  $i \neq j$ , we have the intersection of closures  $\text{Cl}(g^i) \cap \text{Cl}(g^j) \neq \emptyset$  if and only if  $|i - j| \leq 1$ . Clearly,  $\bar{0} \in g^1$  and  $s_1 \in g^{N'}$ , where  $s_1$  is the first salient  $q$ -point. Note that  $G$  is coarser than  $V$  from Remark 3.1, but sufficiently close to it that Lemma 3.2 applies, so  $h^m(G)$  is collinear with  $\mathcal{C}_{q+mR}$  as well as  $h^m(V)$ . In fact,  $G$  is a partition of  $K_s$  and we can use  $G$  to code  $n$ -orbits of  $h^m$  unambiguously.

Since by Lemma 3.2,  $h^m(\mathcal{C}_q)$  is basically collinear with  $\mathcal{C}_{q+mR}$  (it goes straight through  $\mathcal{C}_{q+mR}$ ), and therefore it coils through  $\mathcal{C}_q$  in roughly the same way with the same number of

laps as  $T_s^{mR}$  maps  $[0, c_1]$  into itself, each  $g^i$  intersects  $h^m(g^j)$  for at most  $2l(T_s^{mR}) \leq 2s^{m(R+\eta)}$  values of  $j$ . Continuing by induction, we see that each  $g^i$  intersects  $h^{nm}(g^j)$  for at most  $2^n s^{n(mR+\eta)}$  values of  $j$ , counted ‘with multiplicity’, since the  $h^m$ -image of  $g^j$  can go through  $g^i$  several times. Let us use the partition  $(g^i)_{i=0}^{N'}$  to code the  $n$ -orbits, *i.e.*, for  $x \in K_s$ , we define an itinerary  $e(x) = e_k(x)_{k \geq 0}$  by setting  $e_k(x) = i$  if  $h^{mk}(x) \in g^i$ . Then there are at most  $N' 2^n s^{nm(R+\eta)}$  different itineraries, and  $h^m$ -orbits that are  $(n, \varepsilon)$ -separated must have different length  $n$  itineraries. Hence

$$\begin{aligned} h_{top}(h) &= \frac{1}{m} h_{top}(h^m) \leq \frac{1}{m} \lim_{n \rightarrow \infty} \frac{1}{n} \log N' 2^n s^{nm(R+\eta)} \\ &= (R + \eta) \log s + \frac{\log 2}{m} \leq R \log s + 2\eta. \end{aligned}$$

Here  $\eta > 0$  is arbitrary, so the upper bound  $h_{top}(h) \leq R \log s$  follows.

Now for the lower bound, let  $X_\delta = \{x \in [0, s/2] : d(\text{orb}(x), \frac{1}{2}) > \delta\}$ . If  $x \in X_\delta$ , then for any  $n \in \mathbb{N}$  and maximal interval  $J \ni x$  such that  $T_s^n|_J$  is monotone, we have  $d(T_s^n(x), \partial T_s^n(J)) > \delta$ . It is well-known that  $h_{top}(T_s|_{X_\delta}) \rightarrow \log s$  as  $\delta \rightarrow 0$ . Take  $\eta > 0$  arbitrary and fix  $\delta > 0$  so that  $h_{top}(T_s|_{X_\delta}) > \log(s - \eta)$ . Let  $m$  be so large that for any interval  $J$  of length  $\geq 2\delta$ ,  $T_s^{mR}(J)$  has at least  $(s - 2\eta)^{mR}$  branches intersecting  $X_\delta$ .

Take  $\varepsilon \in (0, 2\delta/s^m)$  and take  $q$  so large that  $\text{mesh}(\mathcal{C}_q) < \varepsilon$ . For each  $q$ -point  $x \in C$ , let  $D_x \subset C$  be the arc of arc-length  $2\delta$  centered at  $x$ , and set  $\mathcal{I}_\delta := \bigcup_{x \in E_q} D_x$ . Let  $W_1 = h^{-m}(h^m([\bar{0}, s_1]) \setminus \mathcal{I}_\delta)$ ; then  $W_1$  has at least  $(s - 2\eta)^{mR}$  connected components. Continue to define inductively  $W_j = h^{-jm}(h^{jm}(W_{j-1}) \setminus \mathcal{I}_\delta)$  for  $2 \leq j \leq n$ . The choice of  $m$  guarantees that  $W_j$  has at least  $(s - 2\eta)^{jRm}$  connected components. If  $x$  and  $y$  belong to different connected components, then there is  $0 \leq j < n$  and  $0 \leq k < m$  such that  $\pi_0(h^{jm+k}(x))$  and  $\pi_0(h^{jm+k}(y))$  are separated by a  $\delta$ -neighborhood of  $\frac{1}{2}$ , so  $x$  and  $y$  are  $(n, 2\delta/s^m)$ -separated for  $h^m$ . Since  $\varepsilon < 2\delta/s^m$ , we can select an  $(n, \varepsilon)$ -separated set of cardinality  $\geq (s - 2\eta)^{nRm}$ , and therefore

$$h_{top}(h) = \frac{1}{m} h_{top}(h^m) \geq \inf_{\varepsilon > 0} \lim_{n \rightarrow \infty} \frac{1}{nm} \log (s - 2\eta)^{nRm} = R \log(s - 2\eta).$$

As  $\eta$  was arbitrary, the lower bound  $h_{top}(h) \geq R \log s$  follows.  $\square$

We finish with the

*Proof of Theorem 1.2.* Let  $q_a : x \mapsto 1 - ax^2$  be a quadratic map with critical point 0,  $c_i = q_a^i(0)$  and left fixed point  $u = \frac{1}{2a}(-1 - \sqrt{1 + 4a})$ . Assume that  $q_a$  is renormalizable, say it has a period  $p$  cycle of intervals  $J_k$ ,  $k = 0, \dots, p-1$  and  $u_k \in \partial J_k$  is an orientation preserving  $p$ -periodic point. The structure that emerges from [3] of the inverse limit space

$\varprojlim([u, c_1], q_a)$  of  $q_a$  is as follows: The core of  $\varprojlim([u, c_1], q_a)$  has  $p$  proper subcontinua  $G_k$ ,  $k = 0, \dots, p-1$ , which are permuted cyclically by the shift homeomorphism, and each of them is homeomorphic to the inverse limit space of the renormalization  $q' := q_a^p|_{J_k}$ . One side of the composant of the point  $(\dots, u_{k-2 \bmod p}, u_{k-1 \bmod p}, u_k)$  compactifies onto the core of  $G_k$ , playing the role of the zero composant of  $\varprojlim([u, c_1], q_a)$  itself. Outside  $\cup_k G_k$ , the core inverse limit space has no other subcontinua than points and arcs. Hence, each homeomorphism  $h$  of  $\varprojlim([u, c_1], q_a)$  can at most permute the  $G_k$  in some way (isotopically to  $\sigma^R$ ); however, within the  $G_k$ ,  $h$  need not act isotopically to  $\sigma^R$ . For example, if  $h$  acts as  $\sigma^R$  outside  $\{G_k\}$ , then it can still be arranged that  $h$  maps  $G_k$  to  $G_{k+R \bmod p}$  isotopically to some other(!) power, say  $N_k$ , of  $\sigma$ . In this case, the entropy of  $h$  becomes

$$(4.1) \quad \max \{ Rh_{top}(q_a), \max_k \frac{1}{\#\text{orb}(u_k)} \sum_{u_l \in \text{orb}(u_k)} N_l h_{top}(q') \}.$$

If  $q_a$  is multiply (or infinitely) renormalizable, then there are nested sequences of subcontinua  $G_{i,k}$  for each  $i \geq 1$  and  $0 \leq k < p_i$ . The homeomorphism  $h$  has to preserve the levels of the subcontinua, but can otherwise permute the  $G_{i,k}$  in some way that is consistent with the action of  $h \simeq \sigma^{N_{i-1}}$  at the previous level. A formula similar to (4.1) holds, but the permutation of  $G_{i,k}$  must be consistent with the permutation of the  $G_{i-1,k}$ .

To estimate the possible values of  $h_{top}(h)$ , let us assume that  $j \in \mathbb{N}_0$  is the largest value such that  $h$  fixes the components  $G_{i,k}$  for all  $i \leq j$  and  $0 \leq k < p_i$ . Then on  $G_{j,k} \setminus \cup_m G_{j+1,m}$ ,  $h$  is isotopic to  $\sigma^{N_j}$  for some  $N_j \in \mathbb{N}$ , and the corresponding entropy is  $N_j \log s_j$ ; hence the smallest positive entropy in this case is  $\log s_j$ , and it can for example be achieved by stipulating that  $h : G_{j+1,m} \rightarrow G_{j+1,m+p_j \pmod{p_{j+1}}}$  is the ‘identity’ for all  $0 \leq m < p_{j+1}$ .

If instead  $h : G_{j+1,0} \rightarrow G_{j+1,p_j}$  is isotopic to  $\sigma^{N_{j+1}}$  for some  $N_{j+1} \in \mathbb{N}$  and  $h : G_{j+1,m} \rightarrow G_{j+1,m+p_j \pmod{p_{j+1}}}$  is the ‘identity’ for all  $1 \leq m < p_{j+1}$ , then the resulting entropy is  $\max\{\log s_j, N_{j+1} \frac{p_j}{p_{j+1}} \log s_{j+1}\}$ . The second term in this maximum takes effect whenever  $N_{j+1} \geq \frac{p_{j+1}}{p_j} \frac{\log s_j}{\log s_{j+1}}$ .

For the next step, assume that  $N_j = N_{j+1} = 1$ , let  $h : G_{j+2,0} \rightarrow G_{j+2,p_{j+1}}$  be isotopic to  $\sigma^{N_{j+2}}$  for some  $N_{j+2} \in \mathbb{N}$ , and let  $h : G_{j+2,m} \rightarrow G_{j+2,m+p_{j+1} \pmod{p_{j+2}}}$  be the ‘identity’ for all  $1 \leq m < p_{j+2}$ . The resulting entropy is  $\max\{\log s_j, \frac{p_j}{p_{j+1}} \log s_{j+1}, N_{j+2} \frac{p_j}{p_{j+2}} \log s_{j+2}\}$ , and the third term in this maximum takes effect when  $N_{j+2} \geq \max\{\frac{p_{j+2}}{p_j} \frac{\log s_j}{\log s_{j+2}}, \frac{p_{j+2}}{p_{j+1}} \frac{\log s_{j+1}}{\log s_{j+2}}\}$ .

Continuing by induction, we obtain formula (1.1).

If  $q_a$  is infinitely renormalizable, there may be an infinite sequence of such values  $(h_i)_{i \in \mathbb{N}} = \left( N_i \frac{p_{j_i}}{p_i} \log s_i \right)_{i \in \mathbb{N}}$  satisfying (1.1) for some  $(j_i)_{i \in \mathbb{N}}$ , and  $h_{top}(h) = \sup_i h_i$ .  $\square$

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